

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	8329745
<b>Application Number:</b>	10655409
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6575
<b>Title of Invention:</b>	Computer-implemented securities trading system with a virtual specialist function
<b>First Named Inventor/Applicant Name:</b>	Timothy M. Keiser
<b>Customer Number:</b>	63710
<b>Filer:</b>	Christopher David Agnew/David Postolski
<b>Filer Authorized By:</b>	Christopher David Agnew
<b>Attorney Docket Number:</b>	98-HSX001-C5
<b>Receipt Date:</b>	31-AUG-2010
<b>Filing Date:</b>	04-SEP-2003
<b>Time Stamp:</b>	16:31:19
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	NPL Documents	04-6191- C1_090806_3mo_Non- Final_Office-Action.pdf	1130788  308ef7a6bd7f95b32df39c1c3303aa3b19e86f32	no	24

### Warnings:

### Information:

2	NPL Documents	04-6191- C1_090320_Application.pdf	1487909	no	33
			b885eb5ef75844a12e54126e280e8c2cee0c2533		
Warnings:					
Information:					
3	NPL Documents	04-6196_090123_1mo_Non_Fi nal_Office_Action.pdf	205828	no	7
			fcc0cb2ae8aeda6e8932b20fbb190897d621b4c		
Warnings:					
Information:					
4	NPL Documents	04-6196_100301_Supplementa l_Notice_of_Allowability.pdf	126918	no	4
			75dde33d39c5d8f458b95e53b11e9b7346c95e40		
Warnings:					
Information:					
5	NPL Documents	04-6191WOCA_100607_CA_Ex am_Report.pdf	544563	no	4
			be4ff398610b908712e818c3fac316c114424ef5		
Warnings:					
Information:					
6	NPL Documents	04-6191- C1_100330_Notice_of_Allowan ce_Fees_Due.pdf	466913	no	11
			dfaeb9788630d07f1e9bd7ce1c8915553ef2541a		
Warnings:					
Information:					
7	NPL Documents	04-6191WOEP_081218_Examin ation_Report.pdf	124467	no	4
			db1009a3a7d02bbea2b3ef37d402014bb410b20a		
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Information:					
8	NPL Documents	04-6191WOAU_091127_Exam_ report.pdf	170430	no	3
			77181a19dfb346fe15bcfd0d6e52bbf2beb20f49d		
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9	NPL Documents	04-6191WOAU_100222_Official _Notice_of_Acceptance.pdf	110179	no	3
			a5373f6f59351f10abd18239cb5ecd45b93306ed		
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10	NPL Documents	04-6191- C2_100625_Application.pdf	1487909	no	33
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11	NPL Documents	03-6161_030922_Application_ as_filed.pdf	2464961	no	58
			ac58683f534c6e04fb7851e345916ce4e83ddc1a		
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12	NPL Documents	03-6157- C1_091109_Application_Original.pdf	1503627	no	26
			abab7e05e7c28199ca8d3ba54bc27b94a4899aaf		
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13	NPL Documents	04-6197-C1_100217_AP.pdf	124270	no	27
			dd6b6524ad9ae14a1c78685a26235eba6835dded		
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14	NPL Documents	04-6197CIP-C1_100221_AP.pdf	159224	no	44
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17	NPL Documents	04-6197_090529_Notice_of_Pa nel_Decision_from_Pre- Appeal_Brief_Review.pdf	79020	no	2
			a72bb89822bf984002a903886e64552d0f80b8b0		
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18	NPL Documents	98-HSX001-C6_app.pdf	1717078	no	50
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19	NPL Documents	98-HSX001_960325_AP.pdf	962468	no	33
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20	NPL Documents	98-HSX001CIP1_981102_AP.pdf	2056756	no	44
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21	NPL Documents	98-HSX001-C4_20021121_AP.pdf	2172754	no	44
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22	NPL Documents	99-HSX001-CIP2_990825_AP.pdf	1061627	no	26
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23	NPL Documents	99-HSX001CIP2_Examiners_Answer.pdf	737136	no	9
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Warnings:					
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24	NPL Documents	98-HSX001-C6_090707_Notice_of_Panel_Decision_from_Pre-Appeal_Brief_Decision.pdf	80929	no	3
			27c0f4027fa5ef99d193e71dcfb70d06d15dca8f		
Warnings:					
Information:					
25	NPL Documents	03-6157-C1_100817_Interview_Summary.pdf	158250	no	3
			391e4cf06ec7656c1e7365ae7633c24871c4576d		
Warnings:					
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26	NPL Documents	98-HSX001-CIP3_100603_Notice_of_Panel_Decision_from_Pre-Appeal_Brief_Review.pdf	79597	no	2
			46201ba345b20ca9f5a2def01c947f37767705e		
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27	NPL Documents	03-6164_091109_Interview_Summary.pdf	312955	no	8
			47aabf8dc573fd3edfb2327511db28ce479e25966		
Warnings:					
Information:					
Total Files Size (in bytes):			20477707		

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**